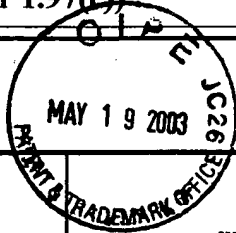


#4 D.J. 9-22-03

IDS Docket # 16591

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

In Re Application Of: **Mitsuhito Sakaguchi, etal.**



Serial No.  
09/721,694

Filing Date  
November 27, 2000

Examiner  
unassigned

Group Art Unit  
2185

Title: **SURFACE PLASMON-ENHANCED READ/WRITE OPTICAL DATE STORAGE MEDIA**

**RECEIVED**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

MAY 20 2003  
Technology Center 2100

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

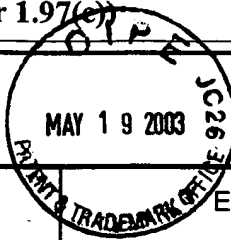
☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(e))

Docket No.  
16591

In Re Application: Mitsuhiro Sakaguchi, et al.



Serial No.

09/721,694

Filing Date

November 27, 2000

Examiner

unassigned

Group Art Unit

2185

SURFACE PLASMON-ENHANCED READ/WRITE OPTICAL DATA STORAGE MEDIA

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Technology Center 2100

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013 SSMP as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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Janet Grossman

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Signature

Paul J. Esatto, Jr., Reg. No. 30,749  
Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

Dated: May 15, 2003

CC:



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** M. Sakaguchi et al.      **Examiner:** unassigned  
**Serial No.:** 09/721,694      **Group Art Unit:** 2185  
**Filed:** November 27, 2000      **Docket:** 16591

**For:** SURFACE PLASMON-ENHANCED Dated: May 15, 2003  
READ/WRITE OPTICAL DATE  
STORAGE MEDIA

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**MAY 20 2003**

Commissioner for Patents  
P. O. Box 14590  
Alexandria, VA 22313-1450

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.


1. Japanese Patent Application 11-134696 published May 21, 1999 together with English language abstract (corresponding to U.S. Patent 6,307,827);
2. Japanese Patent Application 08-007323 published January 12, 1996 together with English language abstract (corresponding to U.S. Patent 5,734,632);

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box 1450, Alexandria, VA 22313 on May 15, 2003.

Dated: May 15, 2003

  
Janet Grossman

3. Japanese Patent Application 10-143895 published May 29, 1998 together with English language abstract (corresponding to U.S. Patent 6,084,848);
4. Japanese Patent Application 05-034129 published February 9, 1993 together with English language abstract;
5. Japanese Patent Application 07-093797 published April 7, 1995 together with English language abstract;
6. Japanese Patent Application 08-222814 published August 30, 1996 together with English language abstract (corresponding to U.S. Patent 6,480,222); and
7. Japanese Patent Application 09-145603 published June 6, 1997 together with English language abstract (corresponding to U.S. Patent 5,625,617).

The references were cited in a Japanese Office Action dated January 8, 2003 received from the Japanese Patent Office. Applicants are submitting copies of the above-cited references, together with a translation of the Examiner's comments regarding the references from the Official Action. The relevance of the references is described in the Official Action.

In compliance with the requirements of 37 C.F.R. §1.98(a)(3), as a concise statement of relevance, as it is presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information, the undersigned attorney of record submits a translation of portions of an official action by a foreign examiner in which the references were cited. The relevance to the pending U.S. patent application is that the references were cited in a foreign patent application on the same subject matter. However, no independent analysis of the references, the accuracy of the statement of the foreign examiner or the claims of the foreign application under the laws of that country or the United States relative to the subject matter claimed in the present application has been made; the present understanding of the

contents thereof by the undersigned being based on the translation of the foreign examiner's comments submitted herewith.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,



Paul J. Esatto, Jr.  
Registration No. 30,749

Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

PJE:ae

(Use several sheets if necessary)

SERIAL NO. 09/721,694

Mitsuhito Sakaguchi, et al.

**FILING**  
**November 27, 2000**

GROUP	2185
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MAY 19 2003

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		11-134696	5/21/99	Japan				
		08-007323	1/12/96	Japan				
		10-143895	5/29/98	Japan				
		05-034129	2/9/93	Japan				
		07-093797	4/7/95	Japan				

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)


**EXAMINER**

DATE CONSIDERED

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

